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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/939,591	08/28/2001	Yoshihisa Kiyotoki	NIP-239	3265

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05/30/2003

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EXAMINER

SHEEHAN, JOHN P

ART UNIT

PAPER NUMBER

1742

DATE MAILED: 05/30/2003

13

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/939,591

Applicant(s)

KIYOTOKI ET AL.

Examiner

John P. Sheehan

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 13 March 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-9 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-9 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on \_\_\_\_\_ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

**Priority under 35 U.S.C. §§ 119 and 120**

- 13) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some \* c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- \* See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

**Attachment(s)**

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO-1449) Paper No(s) 6&7.
- 4) ☐ Interview Summary (PTO-413) Paper No(s) \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_.

## **DETAILED ACTION**

### ***Election/Restrictions***

1. Applicant's election without traverse of Group I claims 1 to 9 in Paper No. 11 is acknowledged.

### ***Priority***

2. Receipt is acknowledged of papers submitted under 35 U.S.C. 119(a)-(d), which papers have been placed of record in the file.

### ***Drawings***

3. The corrected or substitute drawings were received on March 13, 2003. These drawings are with the exception of Figure 9 acceptable to the Examiner.
4. The drawings are objected to because of the misspelling of alloy in Figure 9 (see the lower graph label, "Corrosion-Resistant Abrasion-Resistant Alooy" (emphasis added by the Examiner). A proposed drawing correction or corrected drawings are required in reply to the Office action to avoid abandonment of the application. The objection to the drawings will not be held in abeyance.

### ***Claim Rejections - 35 USC § 112/101***

5. The following is a quotation of the second paragraph of 35 U.S.C. 112:

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The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

6. Claims 6 and 7 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

I. Claim 6 and 7 provide for the use of the wear resisting alloy, but, since the claim does not set forth any steps involved in the method/process, it is unclear what method/process applicant is intending to encompass. A claim is indefinite where it merely recites a use without any active, positive steps delimiting how this use is actually practiced.

Claims 6 and 7 are rejected under 35 U.S.C. 101 because the claimed recitation of a use, without setting forth any steps involved in the process, results in an improper definition of a process, i.e., results in a claim which is not a proper process claim under 35 U.S.C. 101. See for example *Ex parte Dunki*, 153 USPQ 678 (Bd.App. 1967) and *Clinical Products, Ltd. v. Brenner*, 255 F. Supp. 131, 149 USPQ 475 (D.D.C. 1966).

### ***Claim Rejections - 35 USC § 103***

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

8. Claims 1, 2 and 5 to 9 are rejected under 35 U.S.C. 103(a) as being unpatentable over Ohriner et al. (Ohriner, US Patent No. 4,803,045).

Ohriner teaches an iron based hard facing alloy having excellent wear resistance (column 2, lines 5 to 10), a composition that overlaps the alloy composition recited in instant claims 1 to 9 (column 2, lines 40 to 51) and which contains eutectic carbides (column 2, lines 35 to 36 and column 4, lines 45 to 47) as recited in applicants' claims 1, 2 and 5 to 9. Ohriner teach specific example alloys that are encompassed by the alloy composition recited in applicants' claims (column 3, the table, Heats B1, 6995, 6961A, 6998, 6983A, 6961B, 70226B and 7030) each having hardness values that are also encompassed by the hardness values recited in the instant claims (columns 5 and 6, Tables 1 and 2).

The claims and Ohriner differ in that Ohriner does not teach the process steps recited in applicants' claims and is silent with respect to the coefficient of friction of the disclosed alloys.

However, one of ordinary skill in the art at the time the invention was made would have considered the invention to have been obvious because the specific example alloy compositions taught by Ohriner are encompassed by the instant claims. In view of this, Ohriner's alloys would be expected to possess all the same properties as recited in the instant claims including the coefficient of friction recited in the instant claims, *In re Best*, 195 USPQ, 430 and MPEP 2112.01.

"Where the claimed and prior art products are identical or substantially identical in structure or composition, or are produced by identical or substantially identical processes, a prima facie case of either anticipation or obviousness has been established, *In re Best*, 195 USPQ 430, 433 (CCPA 1977). 'When the PTO shows a sound basis for believing that the products of the applicant and the prior art are the same, the applicant has the burden of showing that they are not.' *In re Spada*, 15 USPQ2d 655, 1658 (Fed. Cir. 1990). Therefore, the prima facie case can

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be rebutted by evidence showing that the prior art products do not necessarily possess the characteristics of the claimed product. In re Best, 195 USPQ 430, 433 (CCPA 1977)." see MPEP 2112.01.

With respect to the process steps recited in the claims it is the Examiner's position that, one of ordinary skill in the art at the time the invention was made would have considered the invention to have been obvious because the process limitations recited in the instant product by process claims do not necessarily lend patentability to the claimed product, MPEP 2113.

Further, with respect to claims 8 and 9 it is the Examiner's position that these claims which recite that the claimed alloy is joined with a base metal encompasses the hard facing utility taught by Ohriner.

9. Claims 1 to 3, 6 and 7 are rejected under 35 U.S.C. 103(a) as being unpatentable over Nakamura et al. (Nakamura, US Patent No. 4,789,412, cited by applicants' in the IDS submitted February 28, 2002).

Nakamura teaches specific example alloys that are encompasses by the alloy composition recited in applicants' claims 1 to 3 and 6 (columns 7 and 8, the Table, ally Nos. 1 to 17). Nakamura teaches that the disclosed alloy contains eutectic carbides (column 2, line 55). Nakamura teaches that the disclosed alloy has utility as a nozzle of a gas turbine (column 1, lines 10 to 12).

The claims and Nakamura differ in that Nakamura does not teach the process steps recited in applicants' claims and is silent with respect to the coefficient of friction and hardness of the disclosed alloys.

However, one of ordinary skill in the art at the time the invention was made would have considered the invention to have been obvious because the specific example alloy compositions taught by Nakamura are encompassed by the instant claims. In view of this, Nakamura's alloys would be expected to possess all the same properties as recited in the instant claims including the coefficient of friction and hardness recited in the instant claims, *In re Best*, 195 USPQ, 430 and MPEP 2112.01.

"Where the claimed and prior art products are identical or substantially identical in structure or composition, or are produced by identical or substantially identical processes, a prima facie case of either anticipation or obviousness has been established, *In re Best*, 195 USPQ 430, 433 (CCPA 1977). 'When the PTO shows a sound basis for believing that the products of the applicant and the prior art are the same, the applicant has the burden of showing that they are not.' *In re Spada*, 15 USPQ2d 655, 1658 (Fed. Cir. 1990). Therefore, the prima facie case can be rebutted by evidence showing that the prior art products do not necessarily possess the characteristics of the claimed product. *In re Best*, 195 USPQ 430, 433 (CCPA 1977)." see MPEP 2112.01.

With respect to the process steps recited in the claims it is the Examiner's position that, one of ordinary skill in the art at the time the invention was made would have considered the invention to have been obvious because the process limitations recited in the instant product by process claims do not necessarily lend patentability to the claimed product, MPEP 2113.

Further, with respect to claims 6 and 7 it is the Examiner's position that applicants' claim language, "A fluid device" encompasses "a nozzle of a gas turbine" taught by Nakamura.

10. Claims 1, 2, 4 and 6 to 9 are rejected under 35 U.S.C. 103(a) as being unpatentable over Dong et al. (Dong, US Patent No. 4,911,768).

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Dong teaches a nickel base hard facing alloy having a composition that overlaps the alloy recited in applicants' claims 1, 2, 4 and 6 to 9 (column 2, lines 5 to 20 and 52 to 57). Dong also teaches a specific example alloy that is encompassed by applicants' claims (column 3, the table, Alloy No. 3). Dong teaches that the alloy contains carbides (column 2, lines 21 and 42 and column 3, lines 15 to 27). Dong also teaches that the alloy can be used in valves (column 1, lines 58 to 62).

The claims and Dong differ in that Dong does not teach the process steps recited in applicants' claims and is silent with respect to the coefficient of friction and hardness of the disclosed alloys.

However, one of ordinary skill in the art at the time the invention was made would have considered the invention to have been obvious because the specific example alloy composition taught by Dong are encompassed by the instant claims. In view of this, Dong's alloys would be expected to possess all the same properties as recited in the instant claims including the coefficient of friction and hardness recited in the instant claims, *In re Best*, 195 USPQ, 430 and MPEP 2112.01.

"Where the claimed and prior art products are identical or substantially identical in structure or composition, or are produced by identical or substantially identical processes, a prima facie case of either anticipation or obviousness has been established, *In re Best*, 195 USPQ 430, 433 (CCPA 1977). 'When the PTO shows a sound basis for believing that the products of the applicant and the prior art are the same, the applicant has the burden of showing that they are not.' *In re Spada*, 15 USPQ2d 655, 1658 (Fed. Cir. 1990). Therefore, the prima facie case can be rebutted by evidence showing that the prior art products do not necessarily possess the characteristics of the claimed product. *In re Best*, 195 USPQ 430, 433 (CCPA 1977)." see MPEP 2112.01.



With respect to the process steps recited in the claims it is the Examiner's position that, one of ordinary skill in the art at the time the invention was made would have considered the invention to have been obvious because the process limitations recited in the instant product by process claims do not necessarily lend patentability to the claimed product, MPEP 2113.

Further, with respect to claims 8 and 9 it is the Examiner's position that these claims which recite that the claimed alloy is joined with a base metal encompasses the hard facing utility taught by Dong.

Further, with respect to claims 6 and 7 it is the Examiner's position that applicants' claim language, "A fluid device" encompasses the valves taught by Dong (column 1, lines 58 to 62).

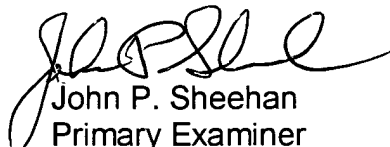
### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to John P. Sheehan whose telephone number is (703) 308-3861. The examiner can normally be reached on T-F (6:30-5:00) Second Monday Off.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Roy King can be reached on (703) 308-1146. The fax phone numbers for the organization where this application or proceeding is assigned are (703) 872-9310 for regular communications and (703) 872-9311 for After Final communications.

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Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is (703) 308-0651.

  
John P. Sheehan  
Primary Examiner  
Art Unit 1742

jps  
May 28, 2003